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Docket No.  
649087/0004

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: **James Worden Toffey**

Group Art Unit: **Not Yet Known**

Application No.: **10/808,820**

Examiner: **Not Yet Known**

Filed: **March 25, 2004**

For: **Method and System for Effecting Straight-Through Processing of Trades of Various Financial Instruments**

Date: **November 30, 2005**

**CERTIFICATE OF MAILING**  
**BY "FIRST CLASS MAIL" (37 C.F.R. § 1.8)**

Commissioner for Patents  
PO Box 1450  
Alexandria, Virginia 22313-1450

Sir:

I hereby certify that the following correspondence:

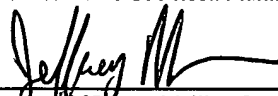
**Return Postcard; Information Disclosure Statement (3 pgs); and FORM PTO 1449 (4 pgs.)**

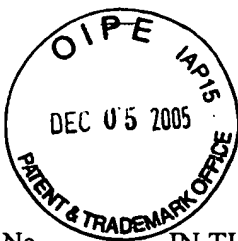
is being deposited on **November 30, 2005** with the United States Postal Service as first class mail in an envelope bearing sufficient postage thereon and addressed to:

**Commissioner for Patents**  
**PO Box 1450**  
**Alexandria, Virginia 22313-1450.**

**Jeffrey Mann**

(Typed Or Printed Name Of Person Mailing Correspondence)

  
(Signature Of Person Mailing Correspondence)



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Date: November 30, 2005

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56 and in accordance with the practice under 37 C.F.R. §§ 1.97 and 1.98, the Examiner's attention is directed to the documents listed on the enclosed Information Disclosure Statement by Applicant form (PTO/SB/08A and/or B, PTO-1449, or equivalent).

The following checked sections apply to this Information Disclosure Statement:

- ☒ In accordance with 37 C.F.R. § 1.98(a)(2)(ii) as revised at 69 Fed. Reg. 56481 (September 21, 2004), copies of the cited U.S. patent application publication(s) and/or U.S. patent(s) have not been submitted.
- ☐ The cited reference(s) were called to Applicant's attention in a counterpart foreign patent application. A copy of the official communication in that counterpart foreign patent application citing the reference(s) is submitted herewith, and the Examiner is respectfully directed thereto for a concise explanation of the relevance of the cited art.
- ☐ At least some of the cited references are not (or the cited reference is not) in English, and so English abstracts of those references (that reference) are provided, if available.
- ☐ At least some of the cited references are not (or the cited reference is not) in English, and so machine English translations of those references (that reference) are provided, where available.
- ☒ This Information Disclosure Statement is being filed (1) within three months of the filing date of a national application other than a continued prosecution application under Sec. 1.53(d), (2) within three months of the date of entry of the national stage as set forth in Sec. 1.491 in an international application, (3) before the mailing of a first Office action on the merits, or (4) before the mailing of a first Office action after the filing of a Request

for Continued Examination under 37 C.F.R. § 1.114. Accordingly, neither a fee nor Statement under 37 C.F.R. § 1.97(e) is due.

☐ This Information Disclosure Statement is being filed before the mailing date of any of a final action under 37 C.F.R. § 1.113, a Notice of Allowance under 37 C.F.R. § 1.311, or an action that otherwise closes prosecution in the application, and so is accompanied by one of:

(1) A Statement under 37 C.F.R. § 1.97(e), which follows; or

(2) The fee set forth in 37 C.F.R. § 1.17(p), authorization for which follows.

☐ This Information Disclosure Statement is being filed before on or before payment of the issue fee and is accompanied by:

(1) A Statement under 37 C.F.R. § 1.97(e), which follows; and

(2) The fee set forth in 37 C.F.R. § 1.17(p), authorization for which follows.

☐ Fee Under 37 C.F.R. § 1.17(p)

The Commissioner is authorized to charge the fee under 37 C.F.R. § 1.17(p) (\$180) to Deposit Account No. 19-4709.

☐ Statement Under 37 C.F.R. § 1.97(e)

Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement; or

No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in Sec. 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

☒ Additional Comments

Applicant(s) have the following additional comments:

**The Examiner's attention is also directed to U.S. Application No. 11/090,763 which was filed on March 25, 2005 and is a Continuation-In-Part application of the present application.**

It is respectfully requested that the above information be considered by the Examiner and that an initialed copy of the accompanying Information Disclosure Statement by Applicant form (PTO/SB/08A and/or B, PTO-1449, or equivalent) be returned to the undersigned indicating that such information has been considered.

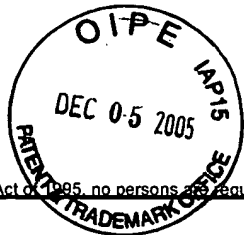
Other than any fees mentioned above, no fees are believed to be due in connection with this Information Disclosure Statement. Nevertheless, the Commissioner is authorized to charge any fees which are deemed to be now or hereafter due in connection with this paper to Deposit Account No. 19-4709.

Favorable consideration and prompt allowance of this application is respectfully requested. In the event that there are any questions, or should additional information be required, please contact Applicant'(s) attorney at the number listed below.

Respectfully submitted,



**Ian G. DiBernardo**  
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Attorney for Applicant(s)  
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PTO/SB/08a (08-03)

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 4**Complete if Known**

Application Number	10/808,820
Filing Date	March 25, 2004
First Named Inventor	Toffey
Art Unit	Not yet assigned
Examiner Name	Not yet assigned
Attorney Docket Number	649087/0004

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 4,674,044	06-16-1987	Kalmus et al.	
		US- 4,750,135	06-07-1988	Boilen	
		US- 5,003,473	03-26-1991	Richards	
		US- 5,077,665	12-31-1991	Silverman et al.	
		US- 5,136,501	08-04-1992	Silverman et al.	
		US- 5,168,446	12-01-1992	Wiseman	
		US- 5,195,031	03-16-1993	Ordish	
		US- 5,270,922	12-14-1993	Higgins	
		US- 5,297,032	03-22-1994	Trojan et al.	
		US- 5,497,317	03-05-1996	Hawkins et al.	
		US- 5,502,637	03-26-1996	Beaulieu et al.	
		US- 5,727,165	06-30-1998	Ordish et al.	
		US- 5,774,880	01-05-1999	Ginsburg	
		US- 5,826,243	10-20-1998	Musmanno et al.	
		US- 5,857,176	01-05-1999	Ginsberg	
		US- 5,905,974	05-18-1999	Fraser et al.	
		US- 5,924,082	07-13-1999	Silverman et al.	
		US- 5,924,083	07-13-1999	Silverman et al.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

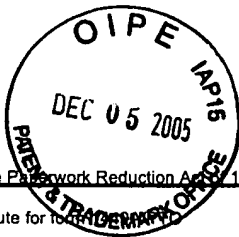
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SignatureDate  
Considered

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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet **2** of **4****Complete if Known**

Application Number	<b>10/808,820</b>
Filing Date	<b>March 25, 2004</b>
First Named Inventor	<b>Toffey</b>
Art Unit	<b>Not yet assigned</b>
Examiner Name	<b>Not yet assigned</b>
Attorney Docket Number	<b>649087/0004</b>

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		Number-Kind Code <sup>2</sup> (if known)			
		US- <b>5,927,031</b>	<b>07-27-1999</b>	<b>Martin</b>	
		US- <b>5,940,809</b>	<b>08-17-1999</b>	<b>Musmanno et al.</b>	
		US- <b>5,946,667</b>	<b>08-31-1999</b>	<b>Tull Jr. et al.</b>	
		US- <b>5,987,432</b>	<b>11-16-1999</b>	<b>Zusman et al.</b>	
		US- <b>6,006,206</b>	<b>12-21-1999</b>	<b>Smith et al.</b>	
		US- <b>6,016,482</b>	<b>01-18-2000</b>	<b>Molinari et al.</b>	
		US- <b>6,092,056</b>	<b>07-18-2000</b>	<b>Tull Jr. et al.</b>	
		US- <b>6,105,005</b>	<b>08-15-2000</b>	<b>Fuhrer</b>	
		US- <b>6,173,270</b>	<b>01-09-2001</b>	<b>Cristofich et al.</b>	
		US- <b>6,260,025</b>	<b>07-10-2001</b>	<b>Silverman et al.</b>	
		US- <b>6,269,346</b>	<b>07-31-2001</b>	<b>Cristofich et al.</b>	
		US- <b>6,317,727</b>	<b>11-13-2001</b>	<b>May</b>	
		US- <b>6,317,751</b>	<b>11-13-2001</b>	<b>Yeger et al.</b>	
		US- <b>6,393,409</b>	<b>05-21-2002</b>	<b>Young et al.</b>	
		US- <b>6,421,653</b>	<b>07-16-2002</b>	<b>May</b>	
		US- <b>6,462,758</b>	<b>10-08-2002</b>	<b>Price et al.</b>	
		US- <b>6,505,175</b>	<b>01-07-2003</b>	<b>Silverman et al.</b>	
		US- <b>6,519,574</b>	<b>02-11-2003</b>	<b>Wilton et al.</b>	

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**INFORMATION DISCLOSURE  
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(Use as many sheets as necessary)

Sheet **3** of **4****Complete if Known**

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		US- <b>6,560,580</b>	<b>05-06-2003</b>	<b>Fraser et al.</b>	
		US- <b>6,587,840</b>	<b>07-01-2003</b>	<b>Smith et al.</b>	
		US- <b>6,606,637</b>	<b>08-12-2003</b>	<b>Hill et al.</b>	
		US- <b>2002/0002530</b>	<b>01-03-2002</b>	<b>Mav</b>	
		US- <b>2002/0026400</b>	<b>02-28-2002</b>	<b>Naravan et al.</b>	
		US- <b>2002/0046149</b>	<b>04-18-2002</b>	<b>Otero et al.</b>	
		US- <b>2002/0046151</b>	<b>04-18-2002</b>	<b>Otero et al.</b>	
		US- <b>2002/0046156</b>	<b>04-18-2002</b>	<b>Horn et al.</b>	
		US- <b>2002/0049661</b>	<b>04-25-2002</b>	<b>Otrero et al.</b>	
		US- <b>2002/0082967</b>	<b>06-27-2002</b>	<b>Kaminsky et al.</b>	
		US- <b>2002/0099651</b>	<b>07-25-2002</b>	<b>May</b>	
		US- <b>2002/0116317</b>	<b>08-22-2002</b>	<b>May</b>	
		US- <b>2002/0143694</b>	<b>10-03-2002</b>	<b>Young et al.</b>	
		US- <b>2002/0156719</b>	<b>10-24-2002</b>	<b>Finebaum et al.</b>	
		US- <b>2002/0169704</b>	<b>11-14-2002</b>	<b>Gilbert et al.</b>	
		US- <b>2002/0184142</b>	<b>12-05-2002</b>	<b>Whang</b>	
		US- <b>2003/0046095</b>	<b>03-06-2003</b>	<b>Jessop et al.</b>	
		US- <b>2003/0055774</b>	<b>03-20-2003</b>	<b>Ginsberg</b>	

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Examiner  
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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

***(Use as many sheets as necessary)***

Sheet	4	of	4
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**Complete if Known**

Application Number	<b>10/808,820</b>
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First Named Inventor	<b>Toffey</b>
Art Unit	<b>Not yet assigned</b>
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Attorney Docket Number	<b>649087/0004</b>

## U. S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

Examiner Signature		Date Considered	
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